

# **Smoky Hill Charolais Farm Maurice J. Rohr**

## **Notice of Intent to Invoke Administrative Sanctions**

DATE: February 4, 2002 RESPONDENTS: Smoky Hill Charolais Farm and Maurice J. Rohr of Hays, Kansas ALLEGATIONS: On January 19, 2000, the Securities Commissioner issued a Consent Order to respondents Smoky Hill Charolais Farm and Maurice Rohr in connection with an investment program involving the sale and lease-back of cattle. In the Consent Order, the Commissioner ordered the respondents to cease and desist from selling unregistered securities and engaging in business as a broker-dealer or agent without registration. The Notice of Intent alleges that, on April 6, 2000, respondent Rohr again solicited an individual to participate in the investment program involving the sale and lease-back of cattle, in violation of the previous Consent Order. The Notice of Intent further alleges that, in connection with the offer of the security, respondent Rohr made a material omission of fact by failing to notify the prospective investor of the earlier order.

## **Final Order**

DATE: October 6, 2003 RESPONDENTS: Smoky Hill Charolais Farm and Maurice J. Rohr of Hays, Kansas FINDINGS: On October 1, 2003, the Securities Commissioner presided at a formal adjudicative hearing to consider the allegations contained in the Notice of Intent to Invoke Administrative Sanctions. After hearing the evidence, the Commissioner found that respondents Smoky Hill Charolais Farm and Maurice Rohr made an illegal offer of unregistered securities, engaged in business as a broker-dealer or agent without registration, offered securities for sale in violation of a previous cease and desist order, and made a material omission of fact by failing to notify the prospective investor of the earlier order. ORDER: The Commissioner ordered the respondents to pay a fine of \$5,000.

## **Order Upheld**

DATE: July 8, 2005

CASE: Maurice J. Rohr, et al. v. Kansas Securities Commissioner  
Kansas Court of Appeals Docket Number 92,970

Finding: The Kansas Court of Appeals issued its unpublished opinion and affirmed the decision of Shawnee County District Court Judge Eric Rosen, who upheld the order of Securities Commissioner Chris Biggs.

**Notice to Investors:** If you are not a resident of Kansas and have been affected by actions that are similar to those described in this synopsis, you should consider contacting your state securities regulator for assistance. To locate your securities regulator, go to the [North American Securities Administrators Association](#) website. If you choose to contact your state securities regulator, please inform him or her of the action taken by the State of Kansas.